

or Section 4947(a)(1) Trust Treated as Private Foundation

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For calendar year 2020, or tax year beginning 01-01-2020, and ending 12-31-2020

Name of foundation THE NAU FOUNDATION
A Employer identification number 20-8457303
B Telephone number (713) 848-1884
C If exemption application is pending, check here
D 1. Foreign organizations, check here
E If private foundation status was terminated under section 507(b)(1)(A), check here
F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here
I Fair market value of all assets at end of year \$ 39,029,023
J Accounting method: Cash

Part I Analysis of Revenue and Expenses (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions))

Table with 5 columns: (a) Revenue and expenses per books, (b) Net investment income, (c) Adjusted net income, (d) Disbursements for charitable purposes. Rows include Revenue (1-12) and Operating and Administrative Expenses (13-26), leading to Total expenses and disbursements of 6,390,000 and Net investment income of 1,901,686.

**Part II Balance Sheets** Attached schedules and amounts in the description column should be for end-of-year amounts only. (See instructions.)

		Beginning of year	End of year	
		(a) Book Value	(b) Book Value	(c) Fair Market Value
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .	68,752	14,970	14,970
	<b>2</b> Savings and temporary cash investments . . . . .			
	<b>3</b> Accounts receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>4</b> Pledges receivable ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>5</b> Grants receivable . . . . .			
	<b>6</b> Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions) . . . . .			
	<b>7</b> Other notes and loans receivable (attach schedule) ▶ _____ Less: allowance for doubtful accounts ▶ _____			
	<b>8</b> Inventories for sale or use . . . . .			
	<b>9</b> Prepaid expenses and deferred charges . . . . .			
	<b>10a</b> Investments—U.S. and state government obligations (attach schedule)	21,318,475	4,087,033	4,087,033
	<b>b</b> Investments—corporate stock (attach schedule)	17,558,957	18,031,556	18,031,556
	<b>c</b> Investments—corporate bonds (attach schedule)	0	1,091,478	1,091,478
	<b>11</b> Investments—land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
	<b>12</b> Investments—mortgage loans . . . . .			
	<b>13</b> Investments—other (attach schedule) . . . . .	2,003,262	15,803,986	15,803,986
	<b>14</b> Land, buildings, and equipment: basis ▶ _____ Less: accumulated depreciation (attach schedule) ▶ _____			
<b>15</b> Other assets (describe ▶ _____)				
<b>16 Total assets</b> (to be completed by all filers—see the instructions. Also, see page 1, item I)	40,949,446	39,029,023	39,029,023	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .			
	<b>18</b> Grants payable . . . . .			
	<b>19</b> Deferred revenue. . . . .			
	<b>20</b> Loans from officers, directors, trustees, and other disqualified persons . . . . .			
	<b>21</b> Mortgages and other notes payable (attach schedule) . . . . .			
	<b>22</b> Other liabilities (describe ▶ _____)			
	<b>23 Total liabilities</b> (add lines 17 through 22).	0	0	
<b>Net Assets or Fund Balances</b>	<b>Foundations that follow FASB ASC 958, check here</b> <input type="checkbox"/> <b>and complete lines 24, 25, 29 and 30.</b>			
	<b>24</b> Net assets without donor restrictions . . . . .			
	<b>25</b> Net assets with donor restrictions . . . . .			
	<b>Foundations that do not follow FASB ASC 958, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 26 through 30.</b>			
	<b>26</b> Capital stock, trust principal, or current funds . . . . .	0	0	
	<b>27</b> Paid-in or capital surplus, or land, bldg., and equipment fund . . . . .	40,949,446	39,029,023	
	<b>28</b> Retained earnings, accumulated income, endowment, or other funds . . . . .	0	0	
<b>29 Total net assets or fund balances</b> (see instructions) . . . . .	40,949,446	39,029,023		
<b>30 Total liabilities and net assets/fund balances</b> (see instructions) . . . . .	40,949,446	39,029,023		

**Part III Analysis of Changes in Net Assets or Fund Balances**

<b>1</b> Total net assets or fund balances at beginning of year—Part II, column (a), line 29 (must agree with end-of-year figure reported on prior year's return) . . . . .	<b>1</b>	40,949,446
<b>2</b> Enter amount from Part I, line 27a . . . . .	<b>2</b>	-4,500,148
<b>3</b> Other increases not included in line 2 (itemize) ▶ _____	<b>3</b>	2,579,725
<b>4</b> Add lines 1, 2, and 3 . . . . .	<b>4</b>	39,029,023
<b>5</b> Decreases not included in line 2 (itemize) ▶ _____	<b>5</b>	0
<b>6</b> Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 29.	<b>6</b>	39,029,023

Table with 4 columns: (a) List and describe the kind(s) of property sold, (b) How acquired, (c) Date acquired, (d) Date sold. Rows include companies like APPLE INC, CAMBIAR INTERNATIONAL, AMPHENOL CORP, etc.

Table with 4 columns: (e) Gross sales price, (f) Depreciation allowed, (g) Cost or other basis plus expense of sale, (h) Gain or (loss). Rows list various companies and their financial data.

SECTION 4940(e) REPEALED ON DECEMBER 20, 2019 - DO NOT COMPLETE

Table with 4 columns: (a) Reserved, (b) Reserved, (c) Reserved, (d) Reserved. Rows 1 through 8.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

Table with 11 main rows and sub-rows (a-e) for credits and payments. Includes fields for exempt foundations, reserved amounts, tax under section 511, and tax due. Total tax based on investment income is 26,433.

Part VII-A Statements Regarding Activities

Table with 10 main rows (1a-10) regarding activities. Includes questions about influencing legislation, political purposes, filing Form 1120-POL, and substantial contributors. Includes Yes/No columns.

**Part VII-A Statements Regarding Activities (continued)**

<b>11</b> At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule. See instructions. . . . .	<b>11</b>		<b>No</b>
<b>12</b> Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement. See instructions . . . . .	<b>12</b>		<b>No</b>
<b>13</b> Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ▶ <u>N/A</u>	<b>13</b>	<b>Yes</b>	

**14** The books are in care of ▶ CAROLINE BAKER Telephone no. ▶ (713) 848-1884  
 Located at ▶ 2229 SAN FELIPE STE 1250 HOUSTON TX 77019 ZIP+4 ▶ \_\_\_\_\_

**15** Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** —check here . . . . .   
 and enter the amount of tax-exempt interest received or accrued during the year . . . . . **15** \_\_\_\_\_

<b>16</b> At any time during calendar year 2020, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? . . . . .	<b>16</b>	<b>Yes</b>	<b>No</b>
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes", enter the name of the foreign			<b>No</b>

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required**

**File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.**

<b>1a</b> During the year did the foundation (either directly or indirectly):			
<b>(1)</b> Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>(2)</b> Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>(3)</b> Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>(4)</b> Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>(5)</b> Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>(6)</b> Agree to pay money or property to a government official? ( <b>Exception.</b> Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b> If any answer is "Yes" to 1a(1)–(6), did <b>any</b> of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance? See instructions . . . . . <b>1b</b>			
Organizations relying on a current notice regarding disaster assistance check here. . . . . <input type="checkbox"/>			
<b>c</b> Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2020? . . . . . <b>1c</b>			<b>No</b>
<b>2</b> Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):			
<b>a</b> At the end of tax year 2020, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2020? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ▶ 20____, 20____, 20____, 20____			
<b>b</b> Are there any years listed in 2a for which the foundation is <b>not</b> applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to <b>all</b> years listed, answer "No" and attach statement—see instructions.) . . . . . <b>2b</b>			
<b>c</b> If the provisions of section 4942(a)(2) are being applied to <b>any</b> of the years listed in 2a, list the years here. ▶ 20____, 20____, 20____, 20____			
<b>3a</b> Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? . . . . . <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>b</b> If "Yes," did it have excess business holdings in 2020 as a result of <b>(1)</b> any purchase by the foundation or disqualified persons after May 26, 1969; <b>(2)</b> the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or <b>(3)</b> the lapse of the 10-, 15-, or 20-year first phase holding period?(Use <i>Schedule C, Form 4720</i> , to determine if the foundation had excess business holdings in 2020.) . . . . . <b>3b</b>			
<b>4a</b> Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? <b>4a</b>			<b>No</b>
<b>b</b> Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2020? <b>4b</b>			<b>No</b>

**Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required** (continued)

- 5a** During the year did the foundation pay or incur any amount to:
- (1)** Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))?  Yes  No
  - (2)** Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive?  Yes  No
  - (3)** Provide a grant to an individual for travel, study, or other similar purposes?  Yes  No
  - (4)** Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? See instructions.  Yes  No
  - (5)** Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals?  Yes  No
- b** If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance? See instructions  
Organizations relying on a current notice regarding disaster assistance check here.
- c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant?  Yes  No  
If "Yes," attach the statement required by Regulations section 53.4945–5(d).
- 6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?  Yes  No
- b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract?  Yes  No  
If "Yes" to 6b, file Form 8870.
- 7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction?  Yes  No
- b** If "Yes", did the foundation receive any proceeds or have any net income attributable to the transaction?  Yes  No
- 8** Is the foundation subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment during the year?  Yes  No

	Yes	No
<b>5b</b>		
<b>6b</b>		No
<b>7b</b>		

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors**

**1 List all officers, directors, trustees, foundation managers and their compensation. See instructions**

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
JOHN L NAU III 2229 SAN FELIPE STE 1250 HOUSTON, TX 77019	PRESIDENT, DIRECTOR 1.00	0	0	0
ELIZABETH NAU STEPANIAN 2229 SAN FELIPE STE 1250 HOUSTON, TX 77019	DIRECTOR 0.00	0	0	0
VICTORIA NAU JOHNSON 2229 SAN FELIPE STE 1250 HOUSTON, TX 77019	DIRECTOR 0.00	0	0	0
ROBERT BOBLITT 2229 SAN FELIPE STE 1250 HOUSTON, TX 77019	SECRETARY, DIRECTOR 0.00	0	0	0
ROXANN NEUMANN 2229 SAN FELIPE STE 1250 HOUSTON, TX 77019	DIRECTOR 0.00	0	0	0

**2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."**

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

**Total** number of other employees paid over \$50,000.

**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**

**3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE".**

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
WL GRAY JR 900 20TH AVE SOUTH SUITE 1305 NASHVILLE, TN 37212	INVESTMENT ADVISORY SERVICES	114,797

**Total** number of others receiving over \$50,000 for professional services. . . . . **0** ▶

**Part IX-A Summary of Direct Charitable Activities**

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.	Expenses
<b>1</b> _____	
<b>2</b> _____	
<b>3</b> _____	
<b>4</b> _____	

**Part IX-B Summary of Program-Related Investments (see instructions)**

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2.	Amount
<b>1</b> _____	
<b>2</b> _____	
<b>3</b> All other program-related investments. See instructions. _____	

**Total.** Add lines 1 through 3 . . . . . **0** ▶

**Part X Minimum Investment Return** (All domestic foundations must complete this part. Foreign foundations, see instructions.)

<b>1</b>	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
<b>a</b>	Average monthly fair market value of securities. . . . .	<b>1a</b>	37,878,386
<b>b</b>	Average of monthly cash balances. . . . .	<b>1b</b>	7,756
<b>c</b>	Fair market value of all other assets (see instructions). . . . .	<b>1c</b>	0
<b>d</b>	<b>Total</b> (add lines 1a, b, and c). . . . .	<b>1d</b>	37,886,142
<b>e</b>	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation). . . . .	<b>1e</b>	0
<b>2</b>	Acquisition indebtedness applicable to line 1 assets	<b>2</b>	0
<b>3</b>	Subtract line 2 from line 1d. . . . .	<b>3</b>	37,886,142
<b>4</b>	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions). . . . .	<b>4</b>	568,292
<b>5</b>	<b>Net value of noncharitable-use assets.</b> Subtract line 4 from line 3. Enter here and on Part V, line 4	<b>5</b>	37,317,850
<b>6</b>	<b>Minimum investment return.</b> Enter 5% of line 5. . . . .	<b>6</b>	1,865,893

**Part XI Distributable Amount** (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here  and do not complete this part.)

<b>1</b>	Minimum investment return from Part X, line 6. . . . .	<b>1</b>	1,865,893
<b>2a</b>	Tax on investment income for 2020 from Part VI, line 5. . . . .	<b>2a</b>	26,433
<b>b</b>	Income tax for 2020. (This does not include the tax from Part VI.)	<b>2b</b>	
<b>c</b>	Add lines 2a and 2b. . . . .	<b>2c</b>	26,433
<b>3</b>	Distributable amount before adjustments. Subtract line 2c from line 1. . . . .	<b>3</b>	1,839,460
<b>4</b>	Recoveries of amounts treated as qualifying distributions. . . . .	<b>4</b>	0
<b>5</b>	Add lines 3 and 4. . . . .	<b>5</b>	1,839,460
<b>6</b>	Deduction from distributable amount (see instructions). . . . .	<b>6</b>	0
<b>7</b>	<b>Distributable amount</b> as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1. . . . .	<b>7</b>	1,839,460

**Part XII Qualifying Distributions** (see instructions)

<b>1</b>	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
<b>a</b>	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26. . . . .	<b>1a</b>	6,391,834
<b>b</b>	Program-related investments—total from Part IX-B. . . . .	<b>1b</b>	0
<b>2</b>	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes. . . . .	<b>2</b>	
<b>3</b>	Amounts set aside for specific charitable projects that satisfy the:		
<b>a</b>	Suitability test (prior IRS approval required). . . . .	<b>3a</b>	
<b>b</b>	Cash distribution test (attach the required schedule). . . . .	<b>3b</b>	
<b>4</b>	<b>Qualifying distributions.</b> Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	<b>4</b>	6,391,834
<b>5</b>	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b. See instructions. . . . .	<b>5</b>	0
<b>6</b>	<b>Adjusted qualifying distributions.</b> Subtract line 5 from line 4. . . . .	<b>6</b>	6,391,834

**Note:** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

**Part XIII Undistributed Income** (see instructions)

	(a) Corpus	(b) Years prior to 2019	(c) 2019	(d) 2020
<b>1</b> Distributable amount for 2020 from Part XI, line 7				1,839,460
<b>2</b> Undistributed income, if any, as of the end of 2020:				
<b>a</b> Enter amount for 2019 only. . . . .			0	
<b>b</b> Total for prior years: 20____, 20____, 20____		0		
<b>3</b> Excess distributions carryover, if any, to 2020:				
<b>a</b> From 2015. . . . .	93,496			
<b>b</b> From 2016. . . . .	252,108			
<b>c</b> From 2017. . . . .	560,997			
<b>d</b> From 2018. . . . .	204,717			
<b>e</b> From 2019. . . . .	444,307			
<b>f</b> <b>Total</b> of lines 3a through e. . . . .	1,555,625			
<b>4</b> Qualifying distributions for 2020 from Part XII, line 4: ▶ \$ <u>6,391,834</u>				
<b>a</b> Applied to 2019, but not more than line 2a			0	
<b>b</b> Applied to undistributed income of prior years (Election required—see instructions). . . . .		0		
<b>c</b> Treated as distributions out of corpus (Election required—see instructions). . . . .	0			
<b>d</b> Applied to 2020 distributable amount . . . . .				1,839,460
<b>e</b> Remaining amount distributed out of corpus	4,552,374			
<b>5</b> Excess distributions carryover applied to 2020. (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
<b>6</b> Enter the net total of each column as indicated below:				
<b>a</b> Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	6,107,999			
<b>b</b> Prior years' undistributed income. Subtract line 4b from line 2b . . . . .		0		
<b>c</b> Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed . . . . .		0		
<b>d</b> Subtract line 6c from line 6b. Taxable amount—see instructions . . . . .		0		
<b>e</b> Undistributed income for 2019. Subtract line 4a from line 2a. Taxable amount—see instructions . . . . .			0	
<b>f</b> Undistributed income for 2021. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2020 . . . . .				0
<b>7</b> Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions) . . . . .	0			
<b>8</b> Excess distributions carryover from 2015 not applied on line 5 or line 7 (see instructions) . . . . .	93,496			
<b>9</b> <b>Excess distributions carryover to 2021.</b> Subtract lines 7 and 8 from line 6a	6,014,503			
<b>10</b> Analysis of line 9:				
<b>a</b> Excess from 2016 . . . . .	252,108			
<b>b</b> Excess from 2017 . . . . .	560,997			
<b>c</b> Excess from 2018. . . . .	204,717			
<b>d</b> Excess from 2019 . . . . .	444,307			
<b>e</b> Excess from 2020 . . . . .	4,552,374			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

- 1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2020, enter the date of the ruling
b. Check box to indicate whether the organization is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

- 2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed
b 85% of line 2a
c Qualifying distributions from Part XII, line 4 for each year listed
d Amounts included in line 2c not used directly for active conduct of exempt activities
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c
3 Complete 3a, b, or c for the alternative test relied upon:
a "Assets" alternative test—enter:
(1) Value of all assets
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)
b "Endowment" alternative test— enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed
c "Support" alternative test—enter:
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)
(3) Largest amount of support from an exempt organization
(4) Gross investment income

Table with 5 columns: (a) 2020, (b) 2019, (c) 2018, (d) 2017, (e) Total. Rows correspond to items 2a through 3(4).

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)

- 1 Information Regarding Foundation Managers:
a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)
JOHN L NAU III

Horizontal scroll bar for manager list.

- b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here [checked] if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. to individuals or organizations under other conditions, complete items 2a, b, c, and d. See instructions

- a The name, address, and telephone number or email address of the person to whom applications should be addressed:
b The form in which applications should be submitted and information and materials they should include:
c Any submission deadlines:
d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:

Horizontal scroll bar for program information.

**Part XV** **Supplementary Information** (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
Name and address (home or business)				
<b>a</b> <i>Paid during the year</i>				
SUL ROSS BORDERLAND RESEARCH PO BOX C-21 ALPINE, TX 79832	N/A	PUBLIC CHARITY	EDUCATION	150,000
THE COLLEGE FOUNDATION OF UVA PO BOX 400807 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC CHARITY	EDUCATION	465,000
THE UT FOUNDATION ONE UTSA CIRCLE NORTH PASEO BUILDING 5102 SAN ANTONIO, TX 78249	N/A	PUBLIC CHARITY	EDUCATION	200,000
METHODIST HOSPITAL FOUNDATION 1707 SUNSET BLVD HOUSTON, TX 77005	N/A	PUBLIC CHARITY	EDUCATION	375,000
UNIVERSITY OF VIRGINIA PO BOX 400331 CHARLOTTESVILLE, VA 229044331	N/A	PUBLIC CHARITY	EDUCATION	5,200,000
<b>Total</b> . . . . . ▶ <b>3a</b>				6,390,000
<b>b</b> <i>Approved for future payment</i>				
SUL ROSS BORDERLAND RESEARCH PO BOX C-21 ALPINE, TX 79832	N/A	PUBLIC CHARITY	EDUCATION	900,000
THE COLLEGE FOUNDATION OF UVA PO BOX 400110 CHARLOTTESVILLE, VA 22904	N/A	PUBLIC CHARITY	EDUCATION	945,000
THE UT FOUNDATION ONE UTSA CIRCLE NORTH PASEO BUILDING 5102 SAN ANTONIO, TX 78249	N/A	PUBLIC CHARITY	EDUCATION	800,000
METHODIST HOSPITAL FOUNDATION 1707 SUNSET BLVD HOUSTON, TX 77005	N/A	PUBLIC CHARITY	EDUCATION	375,000
UNIVERSITY OF VIRGINIA PO BOX 400331 CHARLOTTESVILLE, VA 229044331	N/A	PUBLIC CHARITY	EDUCATION	22,300,000
<b>Total</b> . . . . . ▶ <b>3b</b>				25,320,000





## **Additional Data**

**Return to Form**

**Software ID:**

**Software Version:**

**Form 990PF - Special Condition Description:**

**Special Condition Description**

# TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
ACCOUNTING FEES	7,100	5,325	0	1,775

## TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Name of Bond	End of Year Book Value	End of Year Fair Market Value
CITIGROUP INC BOND	256,898	256,898
ENERGY TRANSFER OPERATING L P BOND	101,400	101,400
ENERGY TRANSFER OPERATING LP BOND	285,000	285,000
FIFTH THIRD BANCORP BOND	202,930	202,930
HUNTINGTON BANCSHARES INC BOND	100,500	100,500
MPLX LP BOND	144,750	144,750

**TY 2020 IRS 990 e-File Render**
**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Name of Stock	End of Year Book Value	End of Year Fair Market Value
ADOBE INC COM	172,041	172,041
ALIBABA GROUP HLDG LTD SPON ADR	174,548	174,548
ALPHABET INC CAP STK CL A	380,323	380,323
ALPHABET INC CAP STK CL C	639,436	639,436
AMAZON.COM INC	667,671	667,671
AMERICAN TOWER CORP COM	109,651	109,651
ANALOG DEVICES INC COM	134,043	134,043
ANSYS INC COM	61,482	61,482
APPLE INC	79,614	79,614
APPLE INC COM	1,314,751	1,314,751
APTIV PLC COM	38,920	38,920
AUTODESK INC COM	87,938	87,938
AUTOMATIC DATA PROCESSING INC COM	136,190	136,190
BANK OF AMERICA CORP	218,512	218,512
BERKSHIRE HATHAWAY INC CL B	301,431	301,431
BERKSHIRE HATHAWAY INC COM	115,935	115,935
BLACKROCK INC COM	424,208	424,208
BLACKSTONE GROUP INC COM CL A	131,171	131,171
BOEING CO COM	157,409	157,409
BORG WARNER INC	14,316	14,316
CAPITAL ONE FINANCIAL CORP COM	60,683	60,683
CARLSBERG AS SPON ADR EACH REP	96,183	96,183
CARNIVAL CORP NEW	21,660	21,660
CARTERS INC COM	22,196	22,196
CHEVRON CORP NEW COM	67,805	67,805
CHURCH & DWIGHT COM	23,323	23,323
CIGNA CORP NEW COM	157,627	157,627
CINTAS CORP	26,055	26,055
CISCO SYS INC COM	144,233	144,233
CISCO SYSTEMS INC	89,500	89,500
CITIGROUP INC COM	126,671	126,671
CITRIX SYS INC COM	17,089	17,089
CME GROUP INC.	36,410	36,410
COMCAST CORP NEW CL A	151,671	151,671
CONSTELLATION BRANDS INC COM	445,233	445,233
COOPER COS INC COM	25,437	25,437
COSTAR GROUP INC COM	32,350	32,350
COSTCO WHOLESALE CORP COM	389,987	389,987
DIAGEO PLC NEW GB SPON ADR	79,405	79,405
DISNEY WALT CO	75,552	75,552
DOLLAR GEN CORP NEW COM	105,311	105,311
DOLLAR TREE INC COM	45,053	45,053
DOMINOS PIZZA INC COM	29,386	29,386

Name of Stock	End of Year Book Value	End of Year Fair Market Value
DUPONT DE NEMOURS INC COM	40,292	40,292
EDWARDS LIFESCIENCES CORP	54,191	54,191
ENCOMPASS HEALTH CORP COM	49,090	49,090
EPAM SYSTEMS INC	143,340	143,340
EQUINIX INC COM	53,694	53,694
EURONET WORLDWIDE INC	61,156	61,156
EXACT SCIENCES CORP	50,479	50,479
FIDELITY NATL INFORMATION SERVICES COM	274,902	274,902
FLEETCOR TECHNOLOGIES INC COM	32,194	32,194
FMC CORP COM	38,374	38,374
GENPACT LIMITED COM STK	20,797	20,797
GLOBAL PMTS INC COM	93,480	93,480
HCA HEALTHCARE INC COM	34,046	34,046
HEALTH CARE SVCS GROUP INC.	35,125	35,125
HEINEKEN N V SPONSORED ADR	167,418	167,418
HOME DEPOT INC COM	711,759	711,759
HONEYWELL INTERNATIONAL INC COM	551,059	551,059
HUBBELL INC COM	36,441	36,441
HUMANA INC	36,745	36,745
INCYTE CORP	43,490	43,490
INTERCONTINENTAL EXCHANGE INC COM	242,731	242,731
JAZZ PHARMACEUTICALS PLC COM	23,767	23,767
JOHNSON & JOHNSON COM	214,207	214,207
KANSAS CITY SOUTHERN COM	39,187	39,187
KINDER MORGAN INC.	95,690	95,690
LINDE PLC COM	159,765	159,765
LIVENT CORP COM	17,050	17,050
LVMH MOET HENNESSY LOUIS VUITTON	155,028	155,028
MAIN STREET CAPITAL CORP COM	174,367	174,367
MARRIOTT INTERNATIONAL INC COM	31,717	31,717
MARRIOTT VACTINS WORLDWID CORP COM	18,775	18,775
MASTERCARD INC CL A	722,962	722,962
MEDTRONIC PLC	187,089	187,089
MICROCHIP TECHNOLOGY COM	67,208	67,208
MICROSOFT CORP	1,052,914	1,052,914
MOHAWK INDUSTRIES COM	14,236	14,236
MONSTER BEVERAGE CORP NEW COM	37,454	37,454
MSCI INC COM	48,629	48,629
NEXTERA ENERGY INC COM	67,486	67,486
ORACLE CORP COM	65,288	65,288
OREILLY AUTOMOTIVE INC	33,943	33,943
OTIS WORLDWIDE CORP COM	36,489	36,489
PAYPAL HLDGS INC COM	234,200	234,200
PAYPAL HOLDINGS INC	117,100	117,100
PENTAIR PLC SHS	13,239	13,239
PEPSICO INC	144,477	144,477
PRA HEALTH SCIENCES INC COM	34,872	34,872

Name of Stock	End of Year Book Value	End of Year Fair Market Value
PROGRESSIVE CORP OHIO	98,880	98,880
PTC INC OCM	59,446	59,446
QUALCOMM INC	266,012	266,012
RAYONIER ADVANCED MATLS INC COM	16,300	16,300
RAYTHEON CO COM NEW	227,758	227,758
REXNORD CORPORATION COM	18,908	18,908
ROPER TECHNOLOGIES INC	53,311	53,311
SBA COMMUNICATIONS CORP NEW CL A	60,784	60,784
SCHWAB CHARLES CORP COM	126,411	126,411
SKYWORKS SOLUTIONS INC OCM	31,180	31,180
SPROUTS FMRS MKT INC COM	16,623	16,623
STRYKER CORP	97,158	97,158
T MOBILE US INC COM	221,154	221,154
TARGET CORP COM	450,371	450,371
TELEFLEX INC	40,490	40,490
TEXAS INSTRUMENTS INC COM	105,510	105,510
THERMO FISHER SCIENTIFIC INC	194,097	194,097
TRACTOR SUPPLY CO	30,176	30,176
TRANSUNION COM	40,923	40,923
UNION PACIFIC CORP COM	142,237	142,237
UNITED HEALTH GROUP	244,306	244,306
UNIVERSAL HEALTH SVCS INC CL B	26,591	26,591
US BANCORP DEL COM	134,486	134,486
V F CORM COM	555	555
VISA INC COM	915,978	915,978
VODAFONE GROUP PLC SPON ADR	28,840	28,840
WELLS FARGO CO NEW COM	50,860	50,860
WESTERN ALLIANCE BANCORP	33,546	33,546
WEX INC OCM	29,919	29,919
XILINX INC	35,245	35,245
XYLEM INC COM	27,149	27,149

## TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

**US Government Securities - End of  
Year Book Value:**

4,087,033

**US Government Securities - End of  
Year Fair Market Value:**

4,087,033

**State & Local Government  
Securities - End of Year Book  
Value:**

0

**State & Local Government  
Securities - End of Year Fair  
Market Value:**

0

**TY 2020 IRS 990 e-File Render****Name:** THE NAU FOUNDATION**EIN:** 20-8457303

Category/ Item	Listed at Cost or FMV	Book Value	End of Year Fair Market Value
AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CLASS F2	FMV	209,862	209,862
AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FUND CLASS F2	FMV	241,854	241,854
AMERICAN FUNDS FUNDAMENTAL INVESTORS FUND CLASS F2	FMV	188,905	188,905
FIRST EAGLE GLOBAL FUNDS CLASS I	FMV	341,598	341,598
NATIXIS VAUGHAN NELSON SELECT FUND CLASS Y	FMV	252,115	252,115
NATIXIS VAUGHAN NELSON VALUE OPP FUND CLASS Y	FMV	171,229	171,229
OAKMARK EQUITY & INCOME FUND CLASS I	FMV	170,055	170,055
VANGUARD FTSE EMERGING MARKETS ETF	FMV	250,550	250,550
WARRANTS OCCIDENTAL PETROLEUM	FMV	1,703	1,703
FIDELITY CONSERVATIV INCOME BOND FD CL	FMV	10,030,614	10,030,614
ARMISTICE CAPITAL OFFSHORE FUND	FMV	1,051,650	1,051,650
CONTEXT PARTNERS OFFSHORE, LTD	FMV	2,893,851	2,893,851

# TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Description	Revenue and Expenses per Books	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
INVESTMENT FEES	135,001	135,001	0	0
BANK CHARGES	59	0	0	59
OTHER DEDUCTIONS FROM PASSTROUGH - CONTEXT PARTNERS OFFSHORE FUND	13,189	13,189	0	0

## TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Description	Revenue And Expenses Per Books	Net Investment Income	Adjusted Net Income
CAPITAL GAIN DISTRIBUTION	44,063	44,063	
ORDINARY INCOME FROM PASSTHROUGH - ARMISTICE CAPITAL OFFSHORE FUND LTD.	63,914	63,914	
OTHER INCOME FROM PASSTHROUGH - CONTEXT PARTNERS OFFSHORE FUND	-74,887	-74,887	

# TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Description	Amount
UNREALIZED GAIN ON INVESTMENTS	2,579,725

# TY 2020 IRS 990 e-File Render

**Name:** THE NAU FOUNDATION

**EIN:** 20-8457303

Category	Amount	Net Investment Income	Adjusted Net Income	Disbursements for Charitable Purposes
FOREIGN TAXES PAID	2,094	2,094	0	0
FEDERAL TAXES PAID	10,000	0	0	0